

APPENDIX D

COMMAND AND STAFF FUNCTIONS AND ESTIMATES

D-1. Command and Staff

While the commander alone is responsible for all his unit does or fails to do, the exercise of command at higher levels requires the services of a highly-qualified, well-coordinated staff. The very nature of the military presupposes changes in staff personnel and commanders between various commands. While flexibility and an individual's desires are keystones in the exercise of command, certain terms, functions, records, and administrative aids are necessary and have to be sufficiently uniform to be applicable in all types of command and staff assignments. The material presented herein enables the commander to conduct the business of command and staff in an orderly and predictable fashion.

D-2. Staff Functions

a. The five common functions performed by all staff officers are to—

- (1) Provide information.
- (2) Make estimates.
- (3) Make recommendations.
- (4) Prepare plans and orders.
- (5) Supervise.

b. Coordination, although not classified as one of the five functions, is an interrelated element to timely and successful accomplishment of each function.

D-3. Command and Staff Relationships

a. The application of inter- and intra-command and staff relationships is conducted through the use of four channels.

- (1) Command.
- (2) Staff.
- (3) Technical.

(4) Noncommissioned officers.

b. Command channels are directive in nature, while staff and technical channels are advisory.

c. Noncommissioned officer channels, like the staff and technical channels, are used primarily for the exchange of information and not to supplant the normal chain of command.

d. Each commander defines to his staff and subordinates his policies on the use of these channels.

D-4. Administrative Aids

Administrative aids are policy files, records, journals, workbooks, and situation maps that facilitate staff actions.

a. Policy Files. A policy file summarizes the current policies of the commander and higher headquarters, and the basic operating principles for the staff section maintaining the file. It provides information on established policies and command guidance to allow subordinates to take immediate action on operational matters including the issuance of necessary implementing and coordinating instructions without reference to the commander. As a minimum, preparation of formal written policies should include (within the body) the following paragraphs:

- (1) References.
- (2) Purpose.
- (3) Procedures.
 - Who.
 - What.
 - Where.
 - When.
- (4) Coordinating instructions.

b. Records. Staff section records are essential to provide information for the commander and staff, for higher and lower headquarters, and for the unit or staff section historical record. The Modern Army Recordkeeping System (MARKS) is the only file system authorized by DA for use throughout the Army.

c. Daily Staff Journal. The DA Form 1594 is the official journal of chronological events affecting a staff section. The chief of staff (XO), and each staff section in a headquarters, regiment, group, and similar size unit, maintains a journal. In the CZ, battalions and separate companies maintain journals. Journals give a complete picture of the unit's operations for a given period and are a permanent record.

d. Workbooks. Workbooks are ready references for use in conducting current operations and in preparing reports. A staff section workbook is an indexed collection of information obtained from written or oral orders, messages, journal entries, and conferences. Workbooks are indexed to fit a staff section's particular needs.

e. Situation Maps. A situation map is a graphic presentation of the current situation. Each staff section keeps its situation map up to date by posting dispositions and activities that concern the section. In brigade and smaller headquarters, a combined situation map, kept under the supervision of the S3, may be sufficient.

D-5. Command and Staff Sequence of Action in Making and Executing Decisions

a. The nine steps in the sequence of actions in making and executing decisions are used as a guide to ensure orderly planning and preparation prior to and during the accomplishment of a mission or task (see Figure D-1). The steps are not formally announced but are considered by all.

b. Each step is normally accomplished progressively depending upon the availability of time and urgency of the situation. During the planning and execution stages, the steps are

reapplied as required in order to adjust to revised information.

STEP #1 MISSION

a. Sources.

- (1) Received.
- (2) Developed.
- (3) Deduced.

b. Uses.

- (1) Review commander's analysis.
- (2) Determine specified tasks.
- (3) Determine implied tasks.

STEP #2 INFORMATION AVAILABLE

a. Sources.

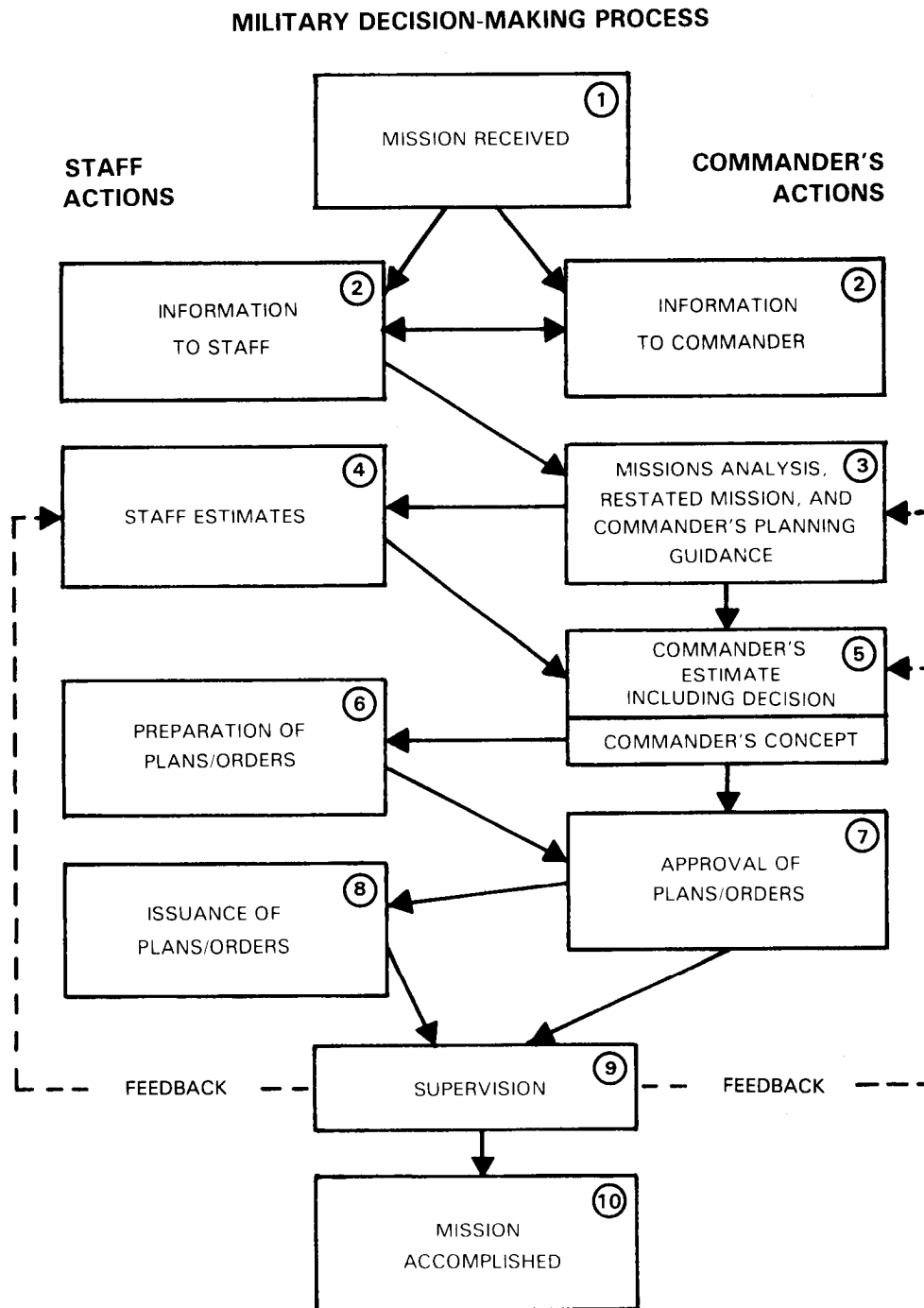
- (1) Plans, orders, and reports.
- (2) Coordination with other agencies.
- (3) Research.
- (4) Briefings.

b. Uses.

- (1) Staff.
- (2) Commander.
- (3) Subordinate staffs and commanders.

c. Methods of Conveying Information.

- (1) Information briefings.
- (2) Reports.
- (3) Estimates.
- (4) Directives.



NOTE: IN SOME CRITICAL SITUATIONS THE COMMANDER MAY BE FORCED TO COMPLETE HIS ESTIMATE BASED ON HIS PERSONAL KNOWLEDGE OF THE SITUATION AND ISSUE ORAL ORDERS TO HIS SUBORDINATE UNITS.

Figure D-1. Military decision-making process.

- (5) Plans and orders.

STEP #3 COMMANDER'S PLANNING GUIDANCE

a. Actions.

- (1) Completes mission analysis.
 - (a) Identifies specified tasks.
 - (b) Identifies implied tasks.
- (2) Issues initial planning guidance.
 - (a) Restates the mission.
 - (b) Outlines major actions.
 - (c) Outlines courses of action to develop or disregard.
 - (d) Specifies essential elements of information required.
 - (e) Specifies a reserve (if applicable).
 - (f) Specifies other CSS.
 - (g) Provides instructions to specific staff officers.

b. Uses. Command and staff activities.

STEP #4 STAFF ESTIMATES

a. Format and Major Paragraphs.

- (1) Mission.
- (2) Situation/consideration/course of action.
- (3) Analysis.
- (4) Comparison.
- (5) Conclusion/recommendation.

(b) Actions.

- (1) Staff prepares and coordinates.
- (2) Presents to commander.

STEP #5 COMMANDER'S ESTIMATE

(a) Format and Major Paragraphs.

- (1) Mission.
- (2) Situation/consideration/course of action.
- (3) Analysis.
- (4) Comparison.
- (5) Decision.

b. Actions.

- (1) Considers staff conclusions and recommendations.
- (2) Completes his estimate.
- (3) Announces his decision.
- (4) Provides concept of operation.

STEP #6 PREPARATION OF PLANS AND ORDERS

a. Formats (FM 101-5 and FM 8-55).

b. Actions Taken by Staff.

- (1) Outlines plan/order.
- (2) Coordinates with staff members.
- (3) Provides input to responsible section(s).

STEP #7 APPROVAL OF PLANS/ORDERS

a. Format (Final Draft).

b. Actions.

- (1) Plans and orders submitted to commander.
- (2) Approved and modified.
- (3) Commander and representative sign.

STEP #8 ISSUANCE OF PLANS/ORDERS

- a.* Publication.
- b.* Distribution.
- c.* Execution.

STEP #9 SUPERVISION

- a.* Command and Staff Supervise Concept.
- b.* Coordination.
- c.* Adjust as Directed.

D-6. Estimate of the Situation

a. General. Combat and CSS commanders and staff officers continually face mission-related problems involving uncertainties and possibilities for solution. They must make their conclusions, recommendations, and decisions based on sound judgment to ensure that the many factors which influence military operations receive logical and orderly consideration. The basic approach used is the estimate of the situation which is a logical, useful, and nonrigid format, and is applicable to any situation, echelon, or type of command. Naturally, knowledge, experience, and judgment will include the selection of the best of several feasible courses of action. The staff officer uses the appropriate estimate to determine the best courses of action for accomplishing a specified task, or to determine how factors in his particular area of interest will influence the courses of actions under consideration. Whereas all parts of the estimate are considered essential, the most significant information in each staff officer's estimate is found in his analysis,

comparison and conclusion, and recommendation paragraphs. It is herein that each staff officer addresses information solely related to his area of interest, followed by the commander's estimate which includes a decision and concept. Because the CSS estimate is necessarily detailed, it is generally a written report which serves two purposes:

(1) To summarize the significant aspects of the situation, thereby assisting the commander in selecting a course of action.

(2) To evaluate and determine how the means available can best be used to accomplish the mission or task.

b. Definition. The estimate of the situation is a problem-solving process used to ensure that logical and orderly consideration is given to all factors affecting a mission and to arrive at a conclusion, recommendation, or decision on the course of action which offers the best possibility for success.

c. Types of Estimates and Content.

(1) Types of estimates.

- Intelligence.
- Personnel.
- Logistic.
- Medical.
- Civil-military operations.
- Operations.

NOTE

Other staff estimates may be used.

(2) Content. The basic format and content of most estimates consist of—

- Paragraph 1. Mission.

- Paragraph 2. Situation–Considerations–Courses of Action.

- Paragraph 3. Analysis.

- Paragraph 4. Comparison.

- Paragraph 5. Conclusions–Recommendations–Decision.

d. Course of Action Elements. The five elements of a course of action are–

- (1) What–action to be taken.
- (2) When–time-date-phase or on-order.
- (3) Where–direction-area.
- (4) How–CSS is to be applied.
- (5) Why–purpose or reason.

e. Decision Elements. The six elements of a complete decision are–

- (1) Who–unit(s).

- (2) What–action to be taken.

- (3) When–time-date-phase or on-order.

- (4) Where–direction-area.

- (5) How–CSS is to be applied.

- (6) Why–purpose or reason.

f. Source of Information. Source of information for input to the estimates include–

- (1) Mission (anticipated, received, developed).
- (2) Staff information briefings.
- (3) Commander’s planning guidance.
- (4) Staff and other agency coordination.
- (5) Records, reports, plans, and orders.
- (6) Research.